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Date of Deposit: March 25, 2008

Attorney Docket No.: 27499-502 REI

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ronald Breslow, *et al.*

Conf. No.: 7609

Application No.: 10/004,411

Filed: November 2, 2001

Patent Number: RE38,506

Issued: April 20, 2004

TC/A.U.: 1625

Examiner: Raymond K. Covington

For: **POTENT INDUCERS OF TERMINAL DIFFERENTIATION AND  
METHODS OF USE THEREOF**

COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Transmitted herewith for filing are the following documents:

1. Revocation of Powers of Attorney, Appointment of New Attorneys and/or Agents and Change of Correspondence Address executed on behalf of **Sloan-Kettering Institute for Cancer Research** (1 page);
2. Statement Under 37 CFR 3.73(b) executed on behalf of **Sloan-Kettering Institute for Cancer Research** (1 page)
3. Attachment A: **Sloan-Kettering Institute for Cancer Research** (4 pages);
4. Revocation of Powers of Attorney, Appointment of New Attorneys and/or Agents and Change of Correspondence Address executed on behalf of **The Trustees of Columbia University in the City of New York** (1 page);
5. Statement Under 37 CFR 3.73(b) executed on behalf of **The Trustees of Columbia University in the City of New York** (1 page);
6. Attachment A: **The Trustees of Columbia University in the City of New York** (3 pages).

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (212) 935-3000, New York, New York.

The Commissioner is authorized to charge any fees that may be due, or to credit any overpayment, to the undersigned's account, Deposit Account No. **50-0311** Ref. No. **27499-502 REI**, Customer No. **73810**.

Respectfully submitted,

Dated: March 25, 2008

*Michelle A. Iwamoto*

Michelle A. Iwamoto, Reg. No. 55,296

Attorney/Agent for Applicant

c/o MINTZ, LEVIN, COHN, FERRIS, *et al.*

666 Third Avenue, 24th Floor

New York, New York 10017

Telephone: (212) 935-3000

Telefax: (212) 983-3115



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that this correspondence, and the documents referred to as attached hereto, are being transmitted to the Commission for Patents, Facsimile Number: ~~(703) 872-9306~~ on this 24<sup>th</sup> day of November, 2007.  
(571) 273-9300

Michelle A. Iwamoto, Michelle A. Iwamoto  
Reg. No. 55,296 Ilona Gent, Reg. No. 58,714

**COMMISSIONER FOR PATENTS**

P.O. Box 1450

Alexandria, VA 22313-1450

**REVOCATION OF POWERS OF ATTORNEY,  
APPOINTMENT OF NEW ATTORNEYS AND/OR AGENTS AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Sir:

**SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH**, a corporation duly organized and existing under the laws of the State of New York, is the Assignee of the entire right, title and interest in the patent applications and patents identified in Attachment A. Assignee hereby revokes any and all former powers of attorney and hereby appoints the attorneys and/or agents associated with Mintz Levin Cohn Ferris Glovsky & Popeo PC, Customer Number **73810**, as attorneys for Applicants with full power of substitution and revocation to take any and all action necessary with regard to the patent applications and patents identified in Attachment A.

Please address all telephone calls to Ivor R. Elrifi at Telephone Number 617 542-6000.  
Please address all correspondence to Customer No. **73810**.

The undersigned is authorized to act on behalf of the Assignee in the above-referenced patent application.

A Statement under 37 C.F.R. §3.73(b) with Attachment A is submitted herewith.

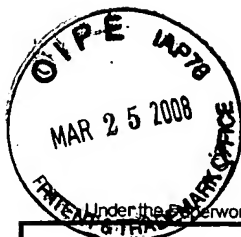
Respectfully submitted,

**SLOAN-KETTERING INSTITUTE FOR  
CANCER RESEARCH**

By: Gustave J. Bernhardt

Gustave J. Bernhardt  
Director, Research Resources Management

Date: 10/24/07



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Listed-Attachment A

Application No./Patent No.: Listed-Attachment A Filed/Issue Date: Listed-Attachment A

Entitled: Listed on Attachment A

Sloan-Kettering Institute for Cancer Research, a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title and interest in the patent application(s)/patent(s) identified in the attached Attachment A; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application(s)/patent(s) identified in Attachment A. The assignment was recorded in the United States Patent and Trademark Office at the Reels and Frames indicated in Attachment A.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose name is supplied below) is authorized to act on behalf of the assignee.

Gustave J. Bernhardt 10/24/07  
Signature Date  
Gustave J. Bernhardt 212-639-2000  
Printed or Typed Name Telephone Number  
Director, Research Resources Management  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



ATTACHMENT A

SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH  
1275 YORK AVENUE  
NEW YORK, NEW YORK 10021

Applicants: Paul A. Marks, Richard A. Rifkind	Attorney Docket No.: 27499-501 I	
Application No.: 07/270,643	Filed: November 14, 1988	
Patent No.: 5,330,744	Issued: July 19, 1994	
Entitled: Method for Increasing Sensitivity to Chemically Induced Terminal Differentiation		
TC/AU: 1205	Confirmation No. 6400	
Recordation Date: March 24, 1994	Reel: 6911	Frame: 0571

Applicants: Paul A. Marks, Richard A. Rifkind	Attorney Docket No.: 27499-502 REI	
Application No.: 10/004,411	Filed: November 2, 2001	
Patent No.: 5,369,108	Issued: November 29, 1994	
Patent No.: RE38,506 E	Reissued: April 20, 2004	
Entitled: Potent Inducers of Terminal Differentiation and Methods of Use Thereof		
TC/AU: 1631	Confirmation No. 7609	
Recordation Date: December 9, 1991	Reel: 5935	Frame: 0910

Applicants: Nikola Pavletich, Michael Finnin, Jill Donigian, Victoria M. Richon, Richard A. Rifkind, Paul A. Marks	Attorney Docket No.: 27499-503 CON	
Application No.: 10/095,109	Filed: March 8, 2002	
Patent No.: 7,124,068	Issued: October 17, 2006	
Entitled: Crystal Structure of a Deacetylase and Inhibitors Thereof		
TC/AU: 1631	Confirmation No. 5951	
Recordation Date: August 20, 2002	Reel: 013201	Frame: 0214

**ATTACHMENT A**

**SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH  
1275 YORK AVENUE  
NEW YORK, NEW YORK 10021**

**PAGE 2**

Applicants: Nikola Pavletich, Michael Finnin, Jill Donigian, Victoria M. Richon, Richard A. Rifkind, Paul A. Marks	Attorney Docket No.: 27499-503 CON DIV1		
Application No.: 11/505,196	Filed: August 16, 2006		
Entitled: Crystal Structure of a Deacetylase and Inhibitors Thereof			
TC/AU: 1656	Confirmation No. 4979		
Recordation Date: October 18, 2007	Reel: 019980	Frame: 0742	

Applicants: Nikola Pavletich, Michael Finnin, Jill Donigian, Victoria M. Richon, Richard A. Rifkind, Paul A. Marks	Attorney Docket No.: 27499-503 CON DIV2	
Application No.: 11/505,214	Filed: August 16, 2006	
Entitled: Crystal Structure of a Deacetylase and Inhibitors Thereof		
TC/AU: 1656	Confirmation No. 5778	
Recordation Date: October 18, 2007	Reel: 019980	Frame: 0597

Applicants: Paul A. Marks, Victoria M. Richon, Richard A. Rifkind	Attorney Docket No.: 27499-504 CON	
Application No.: 10/281,875	Filed: October 25, 2002	
Patent No.: 7,126,001	Issued: October 24, 2006	
Entitled: Novel Class of Cytodifferentiating Agents and Histone Deacetylase Inhibitors and Methods of Use Thereof		
TC/AU: 1625	Confirmation No. 4602	
Recordation Date: October 18, 2007	Reel: 019974	Frame: 0731

**ATTACHMENT A**

**SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH  
1275 YORK AVENUE  
NEW YORK, NEW YORK 10021**

**PAGE 3**

Applicants: Paul A. Marks, Victoria M. Richon, Richard A. Rifkind	Attorney Docket No.: 27499-504 CON2	
Application No.: 11/474,042	Filed: June 22, 2006	
Entitled: Novel Class of Cytodifferentiating Agents and Histone Deacetylase Inhibitors and Methods of Use Thereof		
TC/AU: 1621	Confirmation No. 9654	
Recordation Date: November 14, 2006	Reel: 018522	Frame: 0262

Applicants: Paul A. Marks, Victoria M. Richon, Richard A. Rifkind	Attorney Docket No.: 27499-504 CON1 DIV1	
Application No.: 11/473,839	Filed: June 22, 2006	
Entitled: Novel Class of Cytodifferentiating Agents and Histone Deacetylase Inhibitors and Methods of Use Thereof		
TC/AU: 1625	Confirmation No. 8155	
Recordation Date: October 18, 2007	Reel: 019980	Frame: 0464

Applicants: Paul A. Marks, Victoria M. Richon, Richard A. Rifkind	Attorney Docket No.: 27499-504 CON1 DIV2	
Application No.: 11/474,043	Filed: June 22, 2006	
Patent No. 7,345,174	Issued: March 18, 2008	
Entitled: Novel Class of Cytodifferentiating Agents and Histone Deacetylase Inhibitors and Methods of Use Thereof		
TC/AU: 1621	Confirmation No. 9655	
Recordation Date: July 27, 2006	Reel: 018138	Frame: 0910

**ATTACHMENT A**

**SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH  
1275 YORK AVENUE  
NEW YORK, NEW YORK 10021**

**PAGE 4**

Applicants: Victoria M. Richon, Xianbo Zhou, Richard A. Rifkind, Paul A. Marks	Attorney Docket No.: 27499-505 DIV	
Application No.: 11/202,268	Filed: August 10, 2005	
Patent No.: 7,244,604	Issued: July 17, 2007	
Entitled: HDAC9 Polypeptides and Polynucleotides and Uses Thereof		
TC/AU: 1652	Confirmation No. 7855	
Recordation Date: August 25, 2005	Reel: 016918	Frame: 0822

Applicants: Victoria M. Richon, Xianbo Zhou, Richard A. Rifkind, Paul A. Marks	Attorney Docket No.: 27499-505 DIV2	
Application No.: 11/809,899	Filed: May 31, 2007	
Entitled: HDAC9 Polypeptides and Polynucleotides and Uses Thereof		
TC/AU: Not Yet Assigned	Confirmation No. Not Yet Assigned	
Recordation Date: October 18, 2007	Reel: 019980	Frame: 0207

Applicants: Victoria M. Richon, Paul A. Marks, Richard A. Rifkind, Lisa M. Butler	Attorney Docket No.: 27499-507 CON1	
Application No.: 11/223,547	Filed: September 9, 2005	
Entitled: Method of Treating TRX Mediated Diseases		
TC/AU: 1618	Confirmation No. 9765	
Recordation Date: October 7, 2005	Reel: 017069	Frame: 0393

Applicants: Victoria M. Richon, Paul A. Marks, Richard A. Rifkind, Lisa M. Butler	Attorney Docket No.: 27499-507 CON2	
Application No.: 11/223,405	Filed: September 9, 2005	
Entitled: Method of Treating TRX Mediated Diseases		
TC/AU: 1618	Confirmation No. 1030	
Recordation Date: October 7, 2005	Reel: 017069	Frame: 0399



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that this correspondence, and the documents referred to as attached hereto, are being transmitted to the Commission for Patents, Facsimile Number: (703) 872-9306 on this 29<sup>th</sup> day of November, 2007.  
(571) 273-8300

*Michelle A. Iwanoto*

Reg. No.  
55,296

*Michelle A. Iwanoto*

Ilena Gont, Reg. No. 58,714

**COMMISSIONER FOR PATENTS**

P.O. Box 1450

Alexandria, VA 22313-1450

**REVOCATION OF POWERS OF ATTORNEY, APPOINTMENT OF NEW ATTORNEYS AND/OR AGENTS AND CHANGE OF CORRESPONDENCE ADDRESS**

Sir:

**THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK**, a corporation duly organized and existing under the laws of the State of New York, is the Assignee of the entire right, title and interest for inventors Ronald Breslow, Branko Jursic, Sandro Belvedere, Leland Gershell, and Thomas A. Miller, in the patent applications and patents identified in Attachment A. Assignee hereby revokes any and all former powers of attorney and hereby appoints the attorneys and/or agents associated with Mintz Levin Cohn Ferris Glovsky & Popeo PC, Customer Number **73810**, as attorneys for Applicants with full power of substitution and revocation to take any and all action necessary with regard to the patent applications and patents identified in Attachment A.

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Please address all correspondence to Customer No. **73810**.

The undersigned is authorized to act on behalf of the Assignee in the above-referenced patent application.

A Statement under 37.C.F.R. §3.73(b) with Attachment A is submitted herewith.

Respectfully submitted,

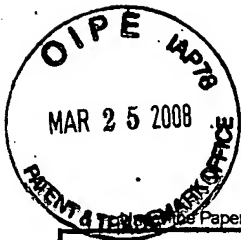
**THE TRUSTEES OF COLUMBIA UNIVERSITY  
IN THE CITY OF NEW YORK**

By: *Scot G. Hamilton*

Scot G. Hamilton  
Executive Director  
Science and Technology Ventures

Date: 11-2-07





PTO/SB/96 (10-07)

Approved for use through 10/31/2007. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Listed-Attachment AApplication No./Patent No.: Listed-Attachment A Filed/Issue Date: Listed-Attachment AEntitled: Listed on Attachment AThe Trustees of Columbia University in the City of  
New York

(Name of Assignee)

a corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title and interest in the patent applications(s)/patent(s) identified in the attached Attachment A; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application(s)/patent(s) identified in Attachment A. The assignment was recorded in the United States Patent and Trademark Office at the Reels and Frames indicated in Attachment A.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

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The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

11/19/07

Date

Scot G. Hamilton(212) 854-6552

Printed or Typed Name

Telephone Number

SeniorExecutive Director, Science and Technology Ventures

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.